



A Report for
State of California
Secretary of State


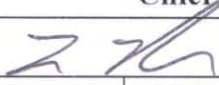
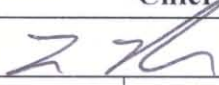
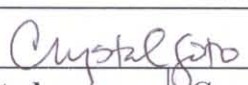
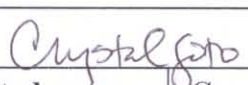
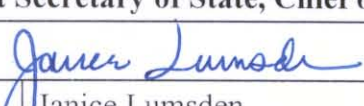
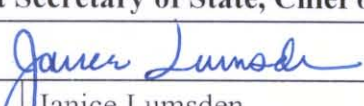
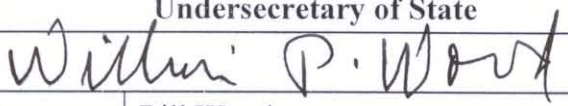
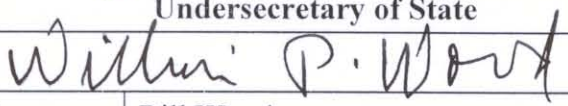
CalValidator Interim Enhancements
Feasibility Study Report (v 1.4)

26 September 2005

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1.0 Executive Project Approval Transmittal

Information Technology Project Request Feasibility Study Report Executive Approval Transmittal			
Bruce McPherson			
Department Name			
Secretary of State			
Project Title (maximum of 75 characters)			
CalVoter Interim Enhancements			
Project Acronym	Department Priority	Agency Priority	
CV+	2	2	
APPROVAL SIGNATURES			
<p>I am submitting the attached Feasibility Study Report (FSR) in support of our request for the Department of Finance's approval to undertake this project.</p> <p>I certify that the FSR was prepared in accordance with State Administrative Manual Sections 4920-4930.1 and that the proposed project is consistent with our information technology strategy as expressed in our current Agency Information Management Strategy (AIMS).</p> <p>I have reviewed and agree with the information in the attached Feasibility Study Report.</p>			
Chief Information Officer		Date Signed	
			
Printed name:	Lee Kercher	9-26-5	
Manager of Fiscal Affairs		Date Signed	
			
Printed name:	Crystal Goto	9/27/05	
Assistant Secretary of State, Chief of Operations		Date Signed	
			
Printed name:	Janice Lumsden	9/27/05	
Undersecretary of State		Date Signed	
			
Printed name:	Bill Wood	9/27/05	

2.0 IT Project Summary Package

2.1 Executive Summary

1.	Submittal Date	September 26, 2005
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		FSR	SPR	PSP Only	Other:
2.	Type of Document	X			
	Project Number				

		Estimated Project Dates	
Project Title	CalValidator Interim Enhancements	Start	End
Project Acronym	CVD+	09/26/05	12/29/05

Submitting Department	Secretary of State
Reporting Agency	

Project #	51005
Doc. Type	FSR

Project Objectives	Major Milestones	Est. Complete Date
<p>The program objective for the CalValidator Plus project is to reduce duplicate registrations by uniquely identifying voters through data matches against the Department of Motor Vehicles' data and Social Security Administration's data.</p>	Phase I: Receive FSR Approval	09/26/05
	Phase II: Procure IT Consultants	10/20/05
	Phase III: Complete Deliverables	12/29/05
	Post Implementation Evaluation Report (PIER)	12/30/06
	Key Deliverables	
	Key Deliverables are delivered during each Phase above:	
	Phase I: RFP	
	Phase II: IT Vendor Contracts Signed	
	Phase III: Driver's License Confirmation, DMV ID Verification Process	
	PIER to Project Management Office	
	Project Acceptance	12/29/05

Project #	51005
Doc. Type	FSR

Proposed Solution

Public Law 107-22, 107th Congress, known as the Help America Vote Act (HAVA), requires every state to deploy a statewide database by January 1, 2006 with prescribed functionality. The primary goals of deploying a statewide database are to ensure duplicate registrations are eliminated, and ensure only those who are eligible to vote are registered. The California SOS submitted a Feasibility Study Report (FSR) to the Department of Finance (DOF) to seek approval to deploy the required database, which will be known as VoteCal. If approved, the proposed schedule for deployment of this solution is the third quarter of 2009.

The purpose of implementing the solution identified in this document is to comply with HAVA while the long-term solution is implemented. The SOS & DMV will work together to enhance the portion of CalValidator's existing interface with DMV. Additionally, the DMV will be responsible for building a transactional interface with the American Association of Motor Vehicle Administrators (AAMVA), the entity which the Social Security Administration (SSA) will share SSN data. Thus, the match request initiated by the counties will automatically go to the SSA for those registrants who did not match on other criteria.

The transactional interfaces will allow automated electronic queries against the DMV and SSA databases, to obtain or validate a unique identifier.

2.2 Project Contacts

Project #	51005
Doc. Type	FSR

Executive Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Undersecretary	Bill	Wood	916	653-3736		916	651-8295	bwood@ss.ca.gov
Chief, Elections Division	Caren	Daniels-Meade	916	657-2133		916	653-3214	cdaniels@ss.ca.gov
Manager Fiscal Affairs	Crystal	Goto	916	653-9445		916	653-8544	cgoto@ss.ca.gov
Chief Information Officer	Lee	Kercher	916	653-7735		916	653-2151	lkercher@ss.ca.gov
Project Sponsor	Janice	Lumsden	916	653-2328		916	653-4795	jlumsden@ss.ca.gov

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Primary Contact	Lee	Kercher	916	653-7735		916	653-2151	lkercher@ss.ca.gov
Project Manager	Linda	Wasik	916	653-0472		916	653-2151	lwasik@ss.ca.gov

Document Prepared by Secretary of State September 2005

2.3 Project Relevance to State and/or Department/Agency Plans

Project #	51005
Doc. Type	FSR

1.	What is the date of your current Operational Recovery Plan (ORP)?	Date	10/2000
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	12/2000
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	n/a
		Page #	

		Yes	No
4.	Is the project reportable to control agencies?		X
	If YES, CHECK all that apply:		
	a) The project involves a budget action.		
	b) A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.		
	c) The project involves the acquisition of microcomputer commodities and the agency does not have an approved Workgroup Computing Policy.		
	d) The estimated total development and acquisition cost exceeds the departmental cost threshold.		
	e) The project meets a condition previously imposed by Finance.		

2.4 Budget Information Update

Project #	51005
Doc. Type	FSR

	No	Yes
Budget Augmentation Required?	X	

If YES, indicate fiscal year(s) and associated amount:

	FY 05/06
General Fund	0

PROJECT COSTS

1.	Fiscal Year	FY 05/06
2.	One-Time Cost	\$494,547
3.	Continuing Costs	
4.	TOTAL PROJECT BUDGET	\$494,547

SOURCES OF FUNDING

5.	General Fund	
6a.	Redirection (Staff)	\$17,797
6b.	Redirection (Existing system)	
7.	Reimbursements	
8.	Federal Funds	\$476,750
9.	Special Funds	
10.	Grant Funds	
11.	Other Funds	
12.	PROJECT BUDGET	\$494,547

PROJECT FINANCIAL BENEFITS

13.	Cost Savings/Avoidances	
14.	Revenue Increase	

2.5 Vendor Project Budget

Project #	51005
Doc. Type	FSR

Vendor Cost for FSR Development (if applicable)	N/A
Vendor Name	Est redirect: \$5,000

VENDOR (System Integrator) PROJECT BUDGET

1. Fiscal Year	FY 05/06
2. Contract Vendor Budget	\$175,000
3. Project Management Budget	
4. IV&V Budget	
5. Independent Project Oversight	
6. Other Contract Services	\$ 1,750
7. TOTAL VENDOR BUDGET	\$176,750

2.6 Risk Assessment

Project #	51005
Doc. Type	FSR

	Yes	No
Has a Risk Management Plan been developed for this project?	X	

General Comment(s)
<p>The Project Management Team has developed a Risk Management Plan that is detailed in Section VII of this Feasibility Study Report. The Risk Management Plan is based on State Information Management Manual (SIMM) guidelines. Key components include:</p> <p>Preliminary development of a Risk Management Worksheet identifying risks identified by SOS to date. The Risk Management Worksheet was completed to provide a risk assessment based on the identification, analysis, quantification, and prioritization of key project risks. The Risk Management Plan will be used on an ongoing basis to identify risks, quantify the potential impact of each identified risk, present mitigation plans and enact appropriate risk responses. Mitigation measures and contingency plans will be developed and implemented as high-priority risks are identified and monitored.</p>

3.0 Business Case

The following identifies the business need for the technical solution described in this FSR.

3.1 Business Program Background

The program to be supported is the registration of voters, administered jointly by the Secretary of State (SOS) Elections Division (ED) and Information Technology Division (ITD). The Elections Division's primary mandate is to ensure that state and federal elections laws are fairly and uniformly administered; that every eligible citizen has barrier-free access to participate in the electoral process; and that the process remains open and free from fraud. California's voter registration program is fundamental to that effort; voter registration is the mandatory first step to participation in the electoral process. Maintaining accurate records of all legally registered citizens is critical to ensuring the integrity of all official elections conducted in this state. To fulfill the purposes of the voter registration program the state and local elections officials:

- ❑ Process voter registration cards.
- ❑ Verify voter eligibility.
- ❑ Notify voters of their voter registration status.
- ❑ Update voter registration records with data received from multiple sources, including returned voter registration cards, direct communication from registrants, and state agencies.

Currently, the official voter file is maintained by the elections official in each of the 58 counties. The SOS maintains a statewide database of all active voters; this database is known as CalVoter. The CalVoter database contains a portion of the same data contained in the county Registrar of Voter's records. CalVoter is updated through periodic submissions of data from the counties.

The CalVoter system was originally designed to help support counties in their list maintenance efforts, providing them with tools and services that help identify duplicate voter registrations and outdated or inaccurate addresses.

One of the methods the SOS employs to achieve this goal is to collect voter registration information from each of the counties and match registrations across counties to identify potential duplicates. The SOS also matches registration data against CDL and CA ID numbers acquired from the Department of Motor Vehicles (DMV) to identify potential duplicates by matching various data points. Once duplicates are identified, the SOS sends a notice to each of the counties notifying them of potential duplicates. The counties then perform research to determine whether the record is indeed a duplicate, and cancel the record if it is. The SOS stores the CDL and CA ID data, along with demographic data, in a database known as CalValidator.

3.2 Business Problem

Public Law 107-22, 107th Congress, known as the Help America Vote Act (HAVA), requires every state to deploy a statewide database by January 1, 2006 with prescribed functionality. The

primary goals of deploying a statewide database are to ensure duplicate registrations are eliminated, and ensure only those who are eligible to vote are registered. The SOS submitted a Feasibility Study Report (FSR) to the Department of Finance (DOF) to seek approval to deploy the required database, which will be known as VoteCal. If approved, the proposed schedule for deployment of this solution is the third quarter of 2009.

The United States Department of Justice (USDOJ), which is the entity responsible for enforcing HAVA, visited with the California SOS' office three times this calendar year to discuss SOS' proposed solution. The USDOJ expects California, which will include multiple agencies, to take measures in the interim to achieve some of the HAVA mandates related to the statewide database. As the enforcement authority for HAVA, and with respect to the statewide database compliance, USDOJ has notified the office via a May 25 letter that it takes its enforcement responsibilities "very seriously." In addition to the formal communications and meetings with SOS to discuss California's situation, the USDOJ has had several telephone conversations with SOS staff clarifying its position on specific aspects of HAVA. The USDOJ has indicated that one of the HAVA requirements it expects SOS to achieve in the interim is the requirement for SOS to match registrant's data against databases to uniquely identify the registrant.

Prior to HAVA being enacted, registrants were not required to provide their CDL, CA ID, or SSN when registering to vote. Under HAVA, registrants for federal elections must provide this information if they have it so that they can be uniquely identified using this number. Even though the information was not previously required, counties could associate a CDL or CA ID with a voter through SOS' database that contains DMV data. This database is known as CalValidator. If a match is not found in CalValidator, counties have the option of calling or sending a letter to the DMV to request that DMV staff search their database for a match. No matches are currently attempted against the SSA database. Approximately 70 percent of existing records have a CDL or CA ID associated with them as a result of these matches. HAVA requires that every record have a unique identifier associated with it. The current limitation of not having electronic access to the latest DMV data or having access to any SSA data prevents counties from associating an existing unique identifier with a greater number of registrants.

Additionally, the state does not currently have established criteria for assigning a unique identifier such that a registrant registering in any county would be assigned the same unique identifier regardless of the county, in the event they do not have a CDL, CA ID, or SSN. As a result, each county assigns its own unique identifier at this time. Without a unique identifier comprised of the same criteria and used uniformly in all counties, the identifier cannot be used as a means of locating a potential duplicate record when comparing records across counties on a statewide basis.

3.3 Business Objectives

The purpose of undertaking and completing this project before January 1, 2006 is to demonstrate California's commitment to meeting the HAVA mandates by working with the DMV for an interim solution to match registrant's data against databases to uniquely identify the registrant.

4.0 Baseline Analysis

Please refer to the VoteCal Feasibility Study Report v3.0 dated July 15, 2005.

5.0 Proposed Solution

The following project addresses the need to associate a unique identifier for every registrant identified in the 'Business Problem' section of this document. Specifically, the proposed solution described below will facilitate the unique identification of registrants, and by doing so will reduce duplicate voters from the rolls.

The SOS will hire programmers to enhance its portion of CalValidator's existing interface with DMV. Concurrently, DMV will hire programmers to enhance its portion of the existing interface so that DMV can automatically send data to SOS. Additionally, the DMV will be responsible for building a transactional interface with the American Association of Motor Vehicle Administrators (AAMVA), the entity with which the Social Security Administration (SSA) will share SSN data. Thus, the match request initiated by the counties will automatically go to the SSA for those registrants who did not match on other criteria.

The transactional interfaces will allow automated electronic queries against the DMV and SSA databases, to obtain or validate a unique identifier.

5.1 Solution Description

The SOS developed an approach to meet the HAVA mandates and USDOJ expectations. The project, which is described in more detail below, consists of enhancing CalValidator and having DMV extract data from its database and the SSA database.

HAVA requires that after January 1, 2006 all registrants for federal elections provide a CDL or CA ID if they have one, which is then matched against DMV's database, which resides in CalValidator. If the registrant does not have a CDL or CA ID, he or she needs to provide the last four digits of his or her social security number (SSN), which will be matched against the SSA database. HAVA requires that states use the CDL or CA ID as the voter's unique identifier. If the voter has neither, then the last four digits of the SSN, in combination with date of birth and part of their last name will be used as the unique identifier. Finally, if the voter does not have a CDL, CA ID, or SSN, the county will assign a unique identifier based on criteria established by SOS.

The current method to determine whether a registrant has a CDL or CA ID is for counties to electronically submit records to the CalValidator database, which contains the DMV data. If the record does not exist in CalValidator, the county seeking the match may contact DMV directly through manual means (e.g., telephone or letter) to determine whether the registrant is in DMV's database and if so, validate the identifying number.

Transactional interfaces will be built between SOS and DMV and also between DMV and SSA (through AAMVA). The match process will be automated to allow a county to submit the information to CalValidator, and if a match is not found CalValidator will then automatically query the DMV database directly to validate the information. Should DMV not have a CDL or CA ID for the registrant, the query will be automatically forwarded to AAMVA to match against the SSA's database assuming an SSN was provided. At any point, when a match is found, data

will be sent to the county with information indicating the level of the match (exact match, multiple matches, no match). Currently, there is no transactional interface between SOS and DMV. Nor is there a transactional interface between DMV and SSA. To build these transactional interfaces, the SOS and DMV will each contract for vendor staff to undertake the necessary programming.

Matching against the DMV and SSA's databases is expected to increase assignment of a positive identifier to approximately 90 percent of the records. Counties will assign the remaining records a unique identifier based on criteria established by SOS.

In addition to the technical project identified in this FSR, the SOS will promulgate regulations that require counties to take specified actions to increase the accuracy and completeness of voter records. For example, counties will be required to seek a match by submitting registrant's data to CalValidator. The regulations are meant to clarify SOS' expectations of the counties.

Hardware

Additional servers and additional storage will be acquired to support performance and increased volume.

Software

Contracted programmers will make modifications to existing software to enable CalValidator to send a match request and accept the response from DMV, analyze it to determine an appropriate action, then invoke the action (e.g., send notice to county that match not found). If the programmers determine that modifying CalValidator cannot be successful, new software will be developed.

For its part, DMV will need to work with SOS' contracted programmers to develop its component of the transactional interface. The DMV will also build a transactional interface to the SSA through AAMVA.

Technical Platform/Network/Development Approach

Neither the network nor technical platform needs to be changed to accommodate the proposed solution.

Integration

The SOS will serve as the system integrator. As such, the SOS will work closely with the DMV to ensure that changes made to the existing interface meet the defined goals.

Procurement Approach

The SOS currently has a vendor under contract who is a certified Project Manager to coordinate and manage the efforts identified above. Thus, no additional project management services need to be procured.

The SOS will conduct a competitive procurement, through the California Multiple Award Schedule (CMAS), to acquire programmers' services. The SOS will provide a Statement of Work to at least three firms immediately upon approval of this FSR. Since this work must be

completed by January 1, 2006, CMAS was chosen as the procurement approach to shorten the procurement time while ensuring a competitive process. Similarly, the DMV intends to competitively procure programmers' services.

Technical Interface

The SOS and DMV will jointly develop a transactional interface between the two agencies' systems. Additionally, DMV will build a transactional interface to the SSA through AAMVA.

Testing

Testing for the changes will include unit, system/integration, acceptance, and load and performance testing. The SOS team will develop test scripts, track results, and implement error resolution procedures. Testing will enable the SOS to determine whether it will achieve the goals of this project.

Resource requirements

The proposed solution requires the redirection of existing staff to perform the system integrator, project manager, and team member functions. These staff will need to possess the following experience or knowledge:

- Project management experience
- System integration experience
- Programming experience
- Subject matter expertise
- IT subject matter expertise

Training plan

Since the activities identified above will result in enhancements that are extremely similar to existing functionality, the SOS does not anticipate the need to conduct, or provide for, training.

On-going maintenance

On-going maintenance will continue to need to be performed on CalValidator.

Information Security

Existing security protocols will continue to exist upon completion of these changes.

Impact on users and systems

End users should not be negatively impacted by the planned changes. In fact, the end users will benefit from removing ineligible voters from the rolls in that county systems will contain fewer records (and potentially improve processing time), and the counties will not be sending sample ballots to people who will not be voting in their county.

Consistency with overall strategies

The proposed solution is consistent with the objectives of the SOS' Agency Information Management Strategy (AIMS).

Impact on current infrastructure

There should be no impact on the current infrastructure.

Impact on data center

There will be no impact on the data center. CalValidator operates at SOS.

Data center consolidation

Since this is not a new system and CalValidator is housed at SOS, no move to the data center is planned.

Backup and operational recovery

The SOS' current disaster recovery routines will cover the proposed project.

Public access

There is no direct public access to CalValidator. These enhancements will not change that status.

Sources of Funding

Congress provided funding to states to meet the HAVA mandates. All of the expenses will be paid for with available HAVA funds. The funds approved by the Legislature for expenditure on the statewide database will not be used for this project.

5.2 Rationale for Selection

The project was planned in such a way as to minimize risk of failure and maximize the chance of meeting HAVA requirement's expectations by January 1, 2006.

In addition to the immediate benefits identified above, the project will benefit the SOS in the long-term. The project will 1) result in a functioning transactional interface with the DMV that can also be used with the VoteCal solution and 2) ensure the agreements and relationships with the DMV are established and refined before the VoteCal project is initiated. By undertaking this now, SOS will have fewer issues to address when VoteCal is deployed.

5.3 Other Alternatives Considered

A number of alternatives were considered before SOS made a decision to pursue the approach outlined in this FSR.

Manual

Manual processing does not provide the level of control envisioned by HAVA or the USDOJ.

Develop new system

Developing a new system is the best alternative to meet all of the HAVA mandates, including having access to more current DMV data, but the SOS cannot procure and deploy that system before January 1, 2006. (The SOS intends to pursue this solution and has submitted an FSR to DOF that projects deployment in August 2009.) In the interim, the USDOJ indicated that it expects the SOS to make modifications to the existing system.

Purchase Commercial-off-the-shelf (COTS) Software

Market search revealed that there are currently no COTS available that meets the HAVA mandate.

The SOS believes that the solution identified in this FSR is the best to achieve the goals in the timeframe prescribed.

6.0 Project Management Plan

The Secretary of State's (SOS) office recognizes that a structured approach to project management is required to ensure the successful implementation of the project described in this FSR.

6.1 Project Manager Qualifications

An experienced project manager is critical to the success of any project. It is the project manager's responsibility to ensure the project comes in on time, within budget and meets functional requirements. The SOS will assign a certified project manager to plan and oversee the implementation of the project. The expectation is that she will use industry standard tools to manage the project.

6.2 Project Management Methodology

SOS will comply with the State's Project Management Methodology as defined in SIMM Section 200, or a comparable standard.

6.3 Project Organization

The project will involve numerous stakeholders in the planning, decision-making, issue resolution, implementation, tracking, and reporting processes related to project activities.

Since the project is deemed to be low risk, there will not be external independent project oversight, independent verification and validation, or other external oversight. There will, however, be internal oversight provided by SOS' Project Management Office.

The team will be comprised of the Project Sponsor (Assistant Secretary of State, Operations) who provides high-level guidance; a Project Director who is responsible for the overall success of the project, and a certified Project Manager who is responsible for the day-to-day decision-making on the project and will oversee the contracted programming staff. The Project Manager will be augmented with an SOS team of ITD staff who will work with contractor staff to undertake the programming activities.

6.4 Project Priorities

In this project, the federal government defined the schedule. The federal government also defined the minimum scope. Therefore, the schedule is constrained. The scope is accepted, and the resources are improved.

6.5 Project Plan

Scope

The scope of the project is to enhance the existing interface with DMV so that SOS can send data to, and receive data from DMV.

Assumptions

Assumptions used to develop the plan include:

- a) These solutions must be operational by January 1, 2006.
- b) The USDOJ accepts the proposed interim solution as the best technical solution that SOS can accomplish by the January 1, 2006 deadline.
- c) The Department of General Services will complete its review and approve all contracts within 10 business days of submission.
- d) Experienced programmers are available to provide the services to SOS and the DMV in the timeframe established.
- e) SOS can enter into a contract with the contracting firm within two weeks of FSR approval.
- f) Sufficient SOS resources, including subject matter experts, are available to participate on the project team.
- g) The DMV can successfully procure contractors and manage its project to successful completion by the deadline.
- h) Problem/issue resolution will be handled on a timely basis.
- i) Proactive risk management strategies will be employed to minimize risk and ensure timely completion of the project.
- j) Staff throughout SOS with the appropriate skills and knowledge are made available as needed to meet the schedule.

Project Phasing

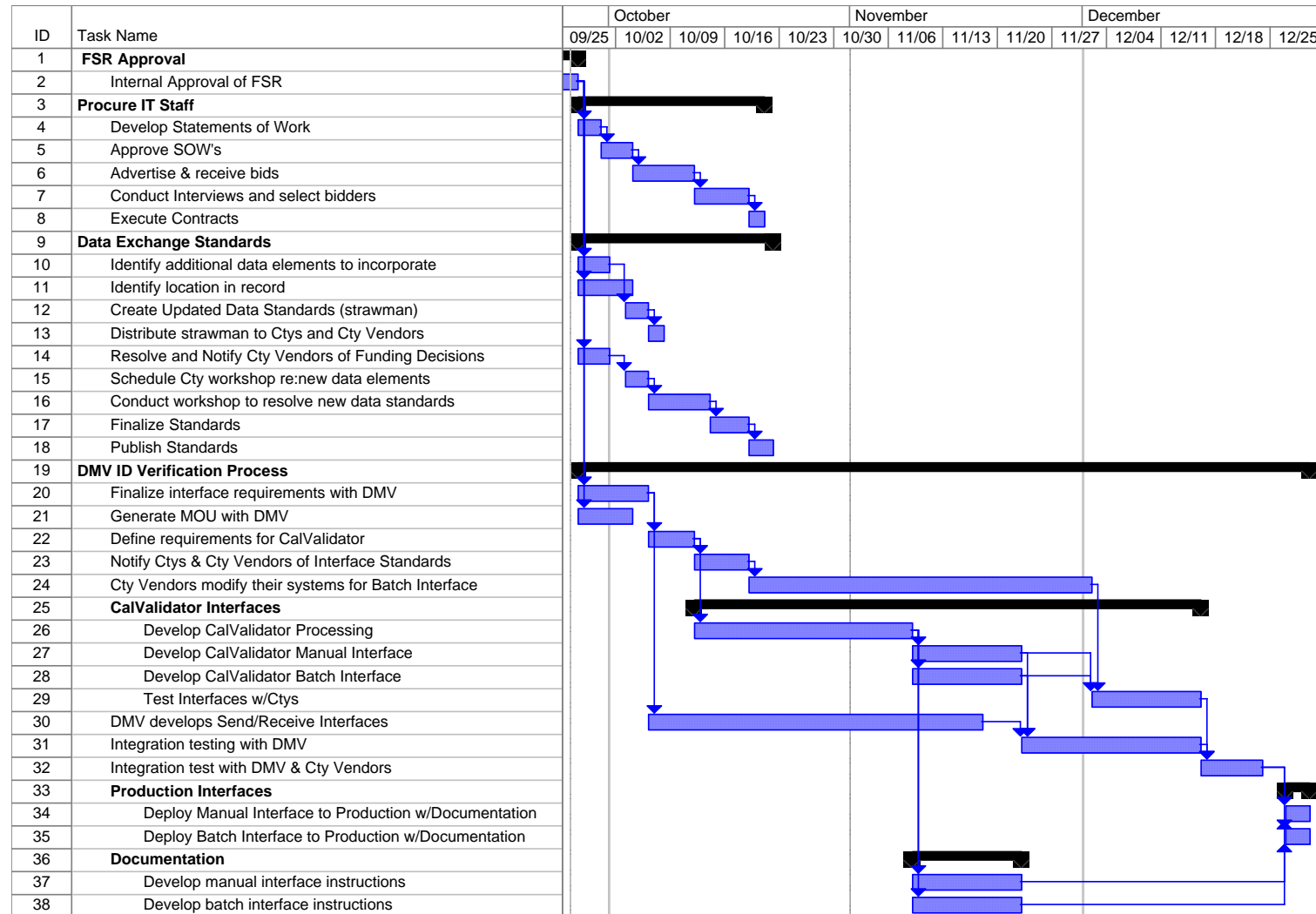
A project schedule will be developed for the project that will clearly identify the critical path for the project. Subsequent activities will not be undertaken until dependencies are completed.

Roles and Responsibilities

- *Project Management Office* will provide internal independent oversight of the project. The PMO Director reports to the Assistant Secretary of State, Operations.
- *Project Sponsor* assures project ownership at the highest level within SOS and provides policy leadership and oversight as needed. The Assistant Secretary of State, Operations will serve as the Project Sponsor; this position reports to the Undersecretary.
- *Project Director* is responsible for the overall success of the project. The Information Technology Division Director will serve as the Project Director and report to the Assistant Secretary of State, Operations.
- *Project Manager* is responsible for day-to-day success of the project and is accountable to the Project Director. A certified Project Manager on contract with the SOS will serve as the Project Manager.
- *Project Team members* will have assigned responsibilities.
- *Contractors* will be used to undertake most of the programming at the direction of the Project Manager.
- *Subject Matter Experts* from the Elections Division will provide guidance before programming is initiated and direction as needed throughout the project

Schedule

The major tasks and associated timeframes are identified in the schedule below.



6.6 Project Monitoring

Although this is a critical project for the SOS to successfully complete on time, based on DOF's risk analysis computation in the Information Technology Project Oversight Framework, this is considered a low risk project. Therefore, the SOS will use an in-house PMO that reports to the Assistant Secretary of State for Operations to monitor the project.

6.7 Project Quality

The Project Manager will develop a quality assurance plan for the project. Additionally, SOS' PMO will monitor project quality.

6.8 Change Management

The changes that will occur as a result of this project will not negatively impact the counties. While the interface is being enhanced, the existing interface will continue to be operational. Testing will occur before the transactional interface is made operational. As a result, counties will not be affected by the changes in the interface until the transactional interface is operational. As a result of the transactional interface, the more recent drivers' license and CA ID data will only make it easier for counties to associate a unique identifier with each voter.

6.9 Authorization Required

There is no special authorization required beyond the standard State processes as defined in SIMM guidelines and DGS policies.

7.0 Risk Management Plan

In order to reduce the overall risk for the project, the SOS has developed the following risk management approach based on State Information Management Manual (SIMM) guidelines. The methodology of the Risk Management Plan will be consistent with the State of California's Project Management Methodology and the Department of Finance's Information Technology Project Oversight Framework.

7.1 Risk Management Approach

The project's short duration reduces the opportunities for the issues to arise that are typically experienced on large projects. For example, problems are often minimized or hidden on larger projects, and the effects of the problems are not felt until much later in the project lifecycle at which time the problem has increased its negative impact. The effect of any unaddressed problem is realized much sooner on smaller projects. In essence, it is very difficult to not quickly address problems on small projects. Shorter timeframes reduce project risk by forcing solutions earlier in the project lifecycle. The SOS will be proactively monitoring the project schedule for slippage as an indicator of project problems that have not yet been addressed.

The project plan will include check points that will force a discussion of whether the SOS should proceed. Including these 'stop/go' decision points in the project plan sends a signal to the team that making a decision to stop a project does not always have negative ramifications. It also reminds the team of acceptable risk levels. As a project progresses, it is easy for a team to change unacceptable risk levels as they have vested a significant amount of time in a project and want to continue working on it until it is successful. Designing the project plan with a pre-determined level of risk minimizes the chance that the level will change mid-course.

The following sub-sections detail the parties who will be responsible for risk management and the process they must follow.

7.2 Risk Management Worksheet

The risk management worksheet was completed to provide a risk assessment based on the identification, analysis, quantification, and prioritization of key project risks.

Table 1. Risk Management Worksheet

Risk Category/Event	Prob.	Assumptions	Preventive Measures	Contingency Measures
Staffing				
Access to skilled State IT workers	Medium - .50	Skilled and knowledgeable SOS IT staff is available to support this project. Skilled DMV IT staff is available to support this project.	Hire contractors to ensure sufficiently skilled IT staff are available. Coordinate with DMV CIO to ensure necessary IT staff members are available.	Employ state IT staff to do programming.
Access to State business project personnel throughout the life of the project	High - .90	SOS Elections Division staff will not have competing priorities (e.g., shepherding voting systems through certification process).	Create detailed estimates of resource demands in advance. Communicate resource demands to senior executives as early as possible and acquire their support.	Reprioritize staff to this project.
Schedule				
Short time frame for implementation	High - .80	SOS and county staff are available to support this timeframe. Vendors have the resources available to support this timeframe.	Frequent pre-planned check points with predetermined definitions of success to determine whether to proceed.	Adjust the scope as necessary.

7.3 Risk Response and Control

The Project Plan will include a system for tracking identified risks through all phases of the project. The risk tracking system will include a database tool that:

- 1) assigns a unique number to each risk;
- 2) tracks the assigned ratings as well as efforts to mitigate the risk; and
- 3) provides the capability to review and report on risks to the rest of the Project Team.

8.0 Economic Analysis Worksheets

EXISTING SYSTEM/BASELINE COST WORKSHEET
All costs to be shown in whole (unrounded) dollars.
Department: Secretary of State
Project: Cal-Validator Interim Enhancement

	FY 2005/06		FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs
Continuing Information											
Technology Costs											
Staff (salaries & benefits)	1.6	136,937	1.6	136,937	0.0	0	0.0	0	0.0	0	0.0
Hardware Lease/Maintenance		161,157		161,157		0		0		0	
Software Maintenance/Licenses		250,459		250,459		0		0		0	
Contract Services		32,391		32,391		0		0		0	
Data Center Services		466,000		466,000		0		0		0	
Agency Facilities		0		0		0		0		0	
Other - Fixed Costs		17,111		17,111		0		0		0	
Total IT Costs	1.6	1,064,055	1.6	1,064,055	0.0	0	0.0	0	0.0	0	0.0
Continuing Program Costs:											
Personal Services	29.0	2,603,000	29.0	2,603,000	0.0	0	0.0	0	0.0	0	0.0
Other - OEBE		371,000		371,000		0		0		0	
Other - SIE		8,959,000		8,959,000		0		0		0	
Total Program Costs	29.0	11,933,000	29.0	11,933,000	0.0	0	0.0	0	0.0	0	0.0
TOTAL EXISTING SYSTEM COSTS	30.6	12,997,055	30.6	12,997,055	0.0	0	0.0	0	0.0	0	0.0

Assumptions:

Baseline Costs only include those related to Calvoter, not to the County Voter Registration/Election Management Systems
Staffing and associated salaries are assumed to remain constant.
Continuing Information Technology Costs are assumed to remain constant.
Continuing Program Costs reflect entire Elections Division program.

State of California Secretary of State
CalValidator Interim Enhancements Feasibility Study Report (v 1.4)

PROPOSED ALTERNATIVE: Cal-Validator Interim Enhancement

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Department: Secretary of State
Project: Cal-Validator Interim Enhancement

All Costs Should be shown in whole (unrounded) dollars.

	Implementation		M&O		FY 2005/06		FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11	
	PYc	Amte	PYc	Amte	PYc	Amte	PYc	Amte	PYc	Amte	PYc	Amte	PYc	Amte	PYc	Amte
One-time IT Project Costs																
Staff (Salaries & Benefits)	0.2	17,797	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Hardware Purchase		40,000		0		0		0		0		0		0		0
Software Purchase/License		10,000		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0		0
Contract Services																
Software Customization		425,000		0		0		0		0		0		0		0
Project Management		0		0		0		0		0		0		0		0
Project Oversight		0		0		0		0		0		0		0		0
IT&W Services		0		0		0		0		0		0		0		0
Other Contract Services		1,750		0		0		0		0		0		0		0
TOTAL Contract Services		426,750		0		0		0		0		0		0		0
Data Center Services		0		0		0		0		0		0		0		0
Agency Facilities - Location for Project Team		0		0		0		0		0		0		0		0
Other - Training and Travel		0		0		0		0		0		0		0		0
Total One-time IT Costs	0.2	494,547	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Continuing IT Project Costs																
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Hardware Lease/Maintenance		0		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0		0
Data Center Services		0		0		0		0		0		0		0		0
Agency Facilities		0		0		0		0		0		0		0		0
Other - Training		0		0		0		0		0		0		0		0
Other - External Agency Interface Maintenance		0		0		0		0		0		0		0		0
Total Continuing IT Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Total Project Costs	0.2	494,547	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Continuing Existing Costs																
Information Technology Staff	1.6	136,937	1.6	136,937	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other IT Costs		927,118		927,118		0		0		0		0		0		0
Total Continuing Existing IT Costs	1.6	1,064,055	1.6	1,064,055	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Program Staff	28.3	2,537,297	29.0	2,458,236	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other Program Costs		9,330,000		9,330,000		0		0		0		0		0		0
Total Continuing Existing Program Costs	28.3	11,867,297	29.0	11,788,236	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Total Continuing Existing Costs	29.9	12,931,351	30.6	12,852,291	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
TOTAL ALTERNATIVE COSTS	30.1	13,425,898	30.6	12,852,291	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
INCREASED REVENUES		0		0		0		0		0		0		0		0

State of California Secretary of State
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PROJECT FUNDING PLAN
All Data in \$ in whole (no cents) (\$ in \$B)

Department: Secretary of State
Project: CalValidator Interim Enhancements

Date Prepared: 08/08/05

	FY 2005/06		FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		TOTAL	
	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails
TOTAL PROJECT COSTS	0.2	494,547	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.2	494,547
REDUCES TO BE AVOIDED														
Start	0.2	17,797	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.2	17,797
Funds:														
Building System	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Fund Source	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL REDUCED FUNDING	0.2	17,797	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.2	17,797
ADDITIONAL PROJECT FUNDING NEEDED														
One-Time Project Costs	0.0	476,750	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	476,750
Continuing Project Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
TOTAL ADDITIONAL PROJECT FUNDING NEEDED PHYSICAL YEAR	0.0	476,750	0.0	0	0.0	0	0.0	0	0.0	0	2.7	0	2.7	476,750
TOTAL PROJECT FUNDING	0.2	494,547	0.0	0	0.0	0	0.0	0	0.0	0	2.7	0	2.9	494,547
Difference: Funding - Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	2.7	0	2.7	0
Total Estimated Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0

ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET
(DOP Use Only)

Department: Secretary of State
Project: CalValidator Interim Enhancements

Date Prepared: 08/08/05

	FY 2005/06		FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		Net Adjustments	
	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails	PYs	Avails
Annual Project Adjustments														
One-Time Costs														
Previous Year's Baseline	0.0	0	0.0	476,750	0.0	0	0.0	0	0.0	0	0.0	0		
(A) Annual Augmentation (Reduction)	0.0	476,750	0.0	(476,750)	0.0	0	0.0	0	0.0	0	0.0	0		
(B) Total One-Time Budget Actions	0.0	476,750	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	476,750
Continuing Costs														
Previous Year's Baseline	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
(C) Annual Augmentation (Reduction)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
(D) Total Continuing Budget Actions	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Total Annual Project Budget Augmentations (Reductions) (A + C)	0.0	476,750	0.0	(476,750)	0.0	0	0.0	0	0.0	0	0.0	0		
(A, C) Exclude Redacted Resources														
Total Additional Project Funds Needed (B + D)													0.0	476,750
Annual Savings/Revenue Adjustments														
Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
Increased Program Revenues		0		0		0		0		0		0		